

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

*(use as many sheets as necessary)*

Sheet	1	of	2
-------	---	----	---

**Complete if Known**

Application Number	09/739,168
Filing Date	December 18, 2000
First Named Inventor	Budge et al.
Group Art Unit	2621
Examiner Name	H. Akhavanik
Attorney Docket Number	1423-4202.IUS

## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

**Examiner  
Signature**

3. Nakhyarain

Date Considered

4-13-05

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231.

**DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 2 of 2

**Complete if Known**

Application Number	09/739,168
Filing Date	December 18, 2000
First Named Inventor	Budge et al.
Group Art Unit	2621
Examiner Name	H. Akhavannik
Attorney Docket Number	1423-4202.1US

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
S.N		M. ANOTONINI ET AL., "Image Coding using wavelet transform", IEEE Transactions on Image Processing, vol. 1, no. 2, pp. 205-220	
		J.M. SHAPRIO, "Embedded image coding using zerotree of wavelet coefficients," IEEE Transactions on Signal Processing, vol. 41, pp. 3445-3462, December 1993	
		P.C. COSSMAN ET AL., "Tree-Structured vector quantization with significance map for wavelet image coding", Proc. 1995 IEEE Data Compression Conf. (DCC), March 1995	
		A.R. CALDERBANK ET AL., "Wavelet transforms that map integers to integers", Mathematics Subject Classification, August 1996	
		M.J. GORMISH ET AL., "Lossless and nearly lossless compression for high quality images", Tech. Rep. Ricoh California Research Center, 2882 Sand Hill Road, Suite 115, Menlo Park, CA 94025-7022	
		QUN GU, "Image Coding by Rate-Distortion Adaptive Zerotree-based Residual Vector Quantization (2000) (published Master of Science (M.S.) thesis, Utah State University, Logan, Utah on file with the Utah State University Library)	
		I. DEBAUCHIES ET AL., "Factoring wavelet transform into lifting steps", Tech. Rep. Lucent, Bell Laboratories, 1996	
		D. SAMPSON ET AL., "Wavelet transform image coding using lattice vector quantization", Electronics Letter, vol. 30, pp. 1477-78, September 1994	

Examiner  
Signature

S. Nakhijawan

Date  
Considered

4-13-05

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

<b>Form PTO-1449</b>  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  <i>(Use several sheets if necessary)</i>	Docket Number (Optional) <b>4202.1</b>	Application Number
	Applicant <b>Scott E. Budge, Qun Gu</b>	
	Filing Date	Group Art Unit

 08739168  
 12/18/00

### U.S. PATENT DOCUMENTS


EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
H.A.	5,031,037	7-9-91	Paul D. Israelsen			
H.A.	5,124,791	6-23-92	Israelsen, et al.			
H.A.	5,450,132	9/12/95	Harris, et al.			

### FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO

### OTHER DOCUMENTS

*(Including Author, Title, Date, Pertinent Pages, Etc.)*


EXAMINER 	DATE CONSIDERED <b>6/2/2004</b>
--	---------------------------------

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 809; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.